

No: Y15-102

Title: Document Control

Rev. Date: 11/01/2000

This procedure establishes administrative controls and provides requirements for the generation, revision, release, receipt, distribution, disposition, and file maintenance of controlled documents, regardless of media used.

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BWXT Y-12, L.L.C.
PROCEDURE BLUE SHEET

Effective Date: November 1, 2000
Page: 1 of 1

This blue sheet applies to: ☐ *Entire Manual* or ☒ *Procedures Specified Below*

Manual Title 15 Series Management Systems		
Procedure No./Title Y15-102/Document Control	Revision No.	Date 01/10/00
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If complete revision required, identify need:		
Description of Change <u>General</u> Replace LMES with BWXT Y-12, L.L.C. Replace Energy Systems with BWXT Y-12, L.L.C. <u>Appendix B</u> p. 1 of 3, 2 nd para., last sentence, change "...Section A, Step 2..." to "Section A, Step 1..."		
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Prepared By: <u>SIGNATURE ON FILE</u> Susan Reed		Date: 10/19/00
Verified By: <u>SIGNATURE ON FILE</u> A. S. Dowd, Performance Assurance		Date: 10/20/00
Approved By: <u>SIGNATURE ON FILE</u> Doris Heim, Functional Manager		<u>Business Systems</u> Department Date: 10/19/00

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Command Media

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Energy Systems
Management Control

Subject: Document Control

B. K. Robinette/s/
Procedure Written by

1/10/00
Date

Approvals:

[Approval Signatures and Dates on File]

D. S. Griffith/s/
Functional Area Manager

1/10/00
Date

F. P. Gustavson/s/
Executive Manager

1/11/00
Date

Clarence C. Hinton/s/
Compliance Management Systems Office

1/21/00
Date

2/4/00
Effective Date

Re-Affirm Date

This document has been reviewed by an
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determined to be UNCLASSIFIED.
This review does not constitute clearance
for public release.

B. K. Robinette/s/ 1/10/00
Signature & Date

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REVISION LOG
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Revision Date	Description of Change	Pages Affected
01/10/00	DM/R 99-IMS-004 Referenced existing marking requirement noted in ES/PSO-1, <i>Manual for the Protection and Control of Classified Matter and Other Protected Information</i>	4, 14
5/26/99	PM/R 99-IMS-002 -Purpose - revised procedure date -A.1 - clarified reporting step - clarified types of documentation -A.2 - added step to maintain list -B.5 - added step to maintain list of centers/contacts -D.1 - added step to ensure change is authorized -E.1 - reworded to ensure index exists -I.1 - revised to reflect current procedure number -Appendix A - revised title - added question on working copies -Appendix C - revised to reflect current system name -Typographical errors	4 5 6 6 7 9 12 17 19 19 23 Various
12/22/98	PM/R 98-IMS-003 New procedure to: Combine and replace Y10-189 and IO-201 and to satisfy ESAMS finding A0080384. Update A&T Basis to reflect requirement source documents and units. Establish role of the Document Control Program Manager. Provide additional information for use in identifying documents needing control. Establish ability to use a paper, electronic, or hybrid process to manage the document control requirements. Provide additional guidance for implementing requirements.	All

Subject: Document Control

PURPOSE

This procedure establishes administrative controls and provides requirements for the generation, revision, release, receipt, distribution, disposition, and file maintenance of controlled documents, regardless of media used. These controls ensure documents selected for control are reviewed for adequacy, approved for release by authorized personnel, and distributed to identified controlled document holders for use.

This procedure replaces Y15-102, *Document Control*, dated May 26, 1999.

APPLIES TO

This procedure applies to all organizations which generate, process, maintain, or receive controlled documents and shall become effective upon issuance. Documents are selected for control when the need for accuracy, completeness, technical adequacy, and the most up-to-date information available is required to perform work in a safe and efficient manner, particularly when work involves the environment, safety, health, or operations.

This procedure does not include all the additional requirements for protected or classified documents.

**OTHER
DOCUMENTS
NEEDED**

- ! Y15-101, *Records Management*
- ! Y15-187, *Integrated Safety and Change Control Process*
- ! Y60-902, *Management Assessment*
- ! ES/PSO-1, *Manual for the Protection and Control of Classified Matter and Other Protected Information*

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WHAT TO DO**A. Identifying Documents to be Controlled**

NOTE 1: Personnel responsible for performing document control are abbreviated throughout this procedure as listed below. Exact titles may vary among various organizations:

DMC - Document Management Center
OM - Organization Manager/Line Manager
PM - Document Control Program Manager

NOTE 2: Within LMES, the document control process (see Appendix A for a process flow diagram) is decentralized with multiple document creators and distributors, as well as multiple users.

Line Organization 1. **IF** an organization has controlled documents, **THEN** ensure controlled document types and subsequent changes are electronically communicated to the Document Control Program Manager (PM) when changes occur. The PM is a Plant position responsible for identifying requirements for document control and supporting line organization implementation of requirements.

NOTE: Selected document categories have already been identified for control within LMES and each organization generating applicable documents shall include them in their set of controlled documents. Based on the results of assessments and needs of individual organizations, other documents may also be controlled. The minimum set includes the following:

! Command media including technical and management control procedures, manuals, technical product procedures, checklists, product specifications and vendor technical instructions when incorporated into official command media

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WHAT TO DO A. Identifying Documents to be Controlled (cont.)

- | | |
|--------------------------|---|
| Line Organization | <ul style="list-style-type: none">! Safety documentation such as Safety Analysis Reports (SARs), Technical Safety Requirements (TSRs), Basis for Interim Operations Documents (BIOs), Operational Safety Requirements (OSRs), Safety Evaluation Reports (SERs) (these documents are developed by DOE but once received by LMES are treated as controlled documents and records), Hazard Evaluation Reports (HERs) and Authorization Basis (AB) supporting documentation including Criticality Safety Approvals (CSAs), Fire Hazard Analyses (FHAs), Design Analysis Calculations (DACs) and their related reports and checklists! Configuration management documentation for each graded structure, system, or component, including design documentation! Designated health, safety, and environmental-related documents, such as site, organization, division, or department emergency plans (when non-current versions would adversely impact safety, health, or emergency activities). |
| PM | <ul style="list-style-type: none">2. Maintain the list of Energy Systems controlled document types. |
| Line Organization | <ul style="list-style-type: none">3. Assess the need for identifying additional documents that satisfy one or more of the following criteria:<ul style="list-style-type: none">! users require a current copy (or a non-current document such as a standard or code adopted by the company for use even though a later version is available) of the document to conduct their work safely and properly,! the use of a non-current version of the document could adversely impact project or program mission,! the document specifies quality requirements or activities that affect quality, or |

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A. Identifying Documents to be Controlled (cont.)

Line Organization **!** the organization determines a document should be controlled.

In addition, other individual documents already being assigned unique numbers, such as reports with numbers such as Y/ADxxxx, should be evaluated to determine the level of document control that should be applied. This could be at the individual document or series level, depending on the needs of the organization.

B. Establishing a Document Management Center

- Line Organization**
1. **IF** organizations identify documents that are applicable to this procedure, **THEN**
 establish a Document Management Center (DMC) as functionally described in Appendix B to manage the process steps as defined in this procedure.
 2. Document the process to be used as described in Appendix C and provide the location of the DMC and a point of contact for the DMC to the PM at initiation of the center and whenever the point of contact changes.
 3. **IF** an organization has more than one DMC, **THEN**
 define clearly the controlled documents maintained by each DMC maintaining an index/cross reference for organization records copies.
- OM**
4. **WHEN** process is approved and documented, **THEN**
 initiate the DMC and implement process steps as defined in this procedure.
- PM**
5. Maintain a list of the locations and point of contacts for all DMCs.

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C. Processing Controlled Documents

DMC

1. Identify controlled documents clearly by:

- ! Implementing a unique identification numbering scheme for documents to be controlled.

These assigned numbers shall not be reused, even if the original document becomes obsolete.

- ! Marking documents as Controlled Copy to provide a positive identification of each controlled copy.

This process may vary, depending on whether the system is paper-based or electronic. If process is paper-based, mark controlled copy in red ink or a color other than black.

- ! Providing a method for the user to determine the completeness of the document.

This may be a list of effective pages noting all included pages, date of revision, and the revision level of each page or an equivalent approved process.

2. Review the document prior to distribution by verifying that:

- ! controlled documents meet requirements set forth in this procedure or that any deviations are approved and documented.
- ! the revision and page status have a unique document identification number, page identity, and accurate revision level
- ! documents have the proper approval for release including authorized approval signature and dates.
- ! each page is numbered and all pages are present
- ! all attachments are listed, included, and labeled.

OM/DMC

- #### 3. IF these requirements have not been met, THEN
- contact the OM/author so the issues can be resolved.

Subject: Document Control

C. Processing Controlled Documents (cont.)

OM/DMC

4. Ensure appropriate distribution of the document by:

- ! creating a standard distribution list for each controlled document that identifies the number and location of the controlled copies that are distributed.
- ! distributing the approved document or revision by a transmittal letter (see Appendix D for an example) to the person/organization listed on the standard distribution list for controlled copies.

Transmittals may be generated electronically or in paper.

D. Revising Controlled Documents

OM/DMC

1. Make revisions to controlled documents properly and ensure that:

- ! the owner of the document authorizes the revision
- ! changes are made in a timely manner
- ! no more than 5 modifications should be incorporated before a management decision is made as to whether issuance of a full revision to the document is required
- ! the appropriate level of review and approval is provided before issuing the revised document, including notifying those on distribution of controlled documents of pending changes and allowing comments, as appropriate
- ! the status of the document (such as cancelled, superseded, or suspended/replaced) and the incorporation of modifications to the document is clearly indicated
- ! copies of all document revisions made to a Master Document (paper or electronic masters) are filed according to procedure Y15-101, *Records Management*

Subject: Document Control

D. Revising Controlled Documents (cont.)

OM/DMC

- !** modifications are distributed as complete documents, unless prior arrangements have been made with the originator/author who controls the update process.

If change pages are distributed by individual page, then the changed pages and transmittal letter are issued, a receipt acknowledgment is required (see Appendix E for an example). Lists of effective pages that identify the revision status of each page of the document may be generated.

2. Bring any issues needing resolution to the attention of the author.

E. Issuing Controlled Documents

NOTE: Transmittals, Receipt Acknowledgments, and Lists of Effected Pages may be generated electronically, in paper, or by a hybrid combination.

OM/DMC

1. Issue/release controlled documents in a controlled manner by:
 - !** identifying recipients; securing the electronic or paper-based master file with strict access control and maintaining the master file, including the document history file, in a current mode.
 - !** ensuring documents are properly approved for release before distribution
 - !** ensuring documents received for distribution are reproducible or in usable electronic format
 - !** verifying legibility or acceptance of legibility

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E. Issuing Controlled Documents (cont.)

OM/DMC

- ! developing and maintaining a standard distribution list (a standard distribution list shall include the following information: the name or job position of the user/holder and the location to which a copy is issued [building location or user id]); assign unique control numbers (copy numbers) to documents as copies of controlled documents are issued; and identify the quantity of documents distributed and the medium.
- ! identifying controlled documents clearly. Methods to do this may include:
 - colored stickers or stamps on manual spine and/or inserts
 - on screen message before accessing electronic versions of controlled document
 - spine or copy numbers or by other means that do not conflict with existing security marking/colors

Documents without this identification are uncontrolled or information only copies.

- ! maintaining the record copy of the controlled document
- ! distributing controlled documents according to a standard distribution list. This list should be updated or verified quarterly and made accessible to holders of controlled documents as needed
- ! **IF** the transmittal is in hard copy, **THEN**
use a transmittal that requires receipt acknowledgment by the receiving organization and provides clear instructions for the insertion/removal of transmitted material.
- ! **IF** follow-ups with appropriate management do not result in proper maintenance of controlled documents, **THEN**
decontrol documents by removing control identification from the document and remove document holder from the distribution list. Inform the document holder of the action taken.

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E. Issuing Controlled Documents (cont.)**OM/DMC**

- ! **WHEN** distributing, **THEN**
ensure that documents received for distribution
correspond to those listed on the transmittal form
- ! maintaining copies of transmittals and receipt acknowledgments
according to procedure Y15-101, *Records Management*.
- ! contacting users/holders whose signed cover letters or receipt
transmittals have not been received by the releasing
organization within 30 days using a follow up letter requesting
receipt compliance.
- ! ensure an accurate index of the controlled document exists.
- ! distributing the index to ensure field update
- ! verifying the status of the index by checking it against the actual
contents before utilizing it. This may be done by distributing
the index to users/holders for review.

F. Verifying Controlled Documents for Use**User/DMC**

1. Verify the controlled document before use, in collaboration with the
DMC receiving the controlled document, by:
 - ! establishing a receipt review process that verifies controlled
documents are: at the correct distribution control point and are
legible or have been accepted for legibility by the releasing
organization.
 - ! resolving noted document deficiencies with the releasing
organization
 - ! placing the approved revisions into the applicable file or manual
upon receipt of a controlled document, revision, or change.

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F. Verifying Controlled Documents for Use (cont.)**User/DMC**

- ! disposing of obsolete copies or pages as indicated on the transmittal form or letter
- ! completing the bottom portion of the receipt acknowledgment form and returning this form to the releasing department within the appropriate time from the date on the transmittal letter (may be an electronic reply by e-mail).

If an e-mail reply is used, return the acknowledgment receipt to the releasing department. This e-mail must contain the document number and revision level. Electronic transmittals and receipt acknowledgments are acceptable.

- ! verify that the index is the latest revision when requested by the sending DMC.
- ! **IF** the copy does not correspond to the latest revision listed on the index, **THEN**
 - contact the releasing department in writing and obtain the latest revision. Record/history copies are maintained according to Y15-101, other copies such as obsolete, superseded, or out of date documents shall be destroyed or identified as no longer being a controlled document.

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F. Verifying Controlled Documents for Use (cont.)

NOTE: The use of controlled copies for work is recommended. Information copies should not be used and therefore have no special marking, verification, or notification requirements. In some special instances, working copies may be used for work. Examples are in contaminated areas, in maintenance work packages, etc.

- Line Organization** 2. **IF** using a working copy of a controlled document, **THEN** verify that the working copy is current and up-to-date for use for a maximum of 7 calendar days.

Working copies are usually utilized where the work activities require up-to-date status to ensure compliance to requirements. A working copy may be used for work during those 7 calendar days after which revision status must be reverified as current (organizations may choose to adopt a shorter time frame if needed). A valid working copy that has been verified should be annotated on the front cover of the working copy or a separate page by initialing/signing and dating the top of the page. If an additional length of time between verifications of working copies is needed, the OM shall document the justification for this change and the process to be used and obtain PM concurrence with the exception.

3. **IF** the document is a nonaccountable classified document, **THEN**, Maintain a master listing of working copies annotated as required by ES/PSO-1, *Manual for the Protection and Control of Classified Matter and Other Protected Information*.

G. Maintaining Controlled Documents

OM/DMC

1. Maintain controlled documents, to the extent possible, by:
 - a. Identifying the location where working copies are utilized and establishing a method to ensure up-to-date status verification of working copies.

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G. Maintaining Controlled Documents (cont.)**OM/DMC****b. IF** distribution/maintenance is paper-based, **THEN**

- ! insert material into controlled manuals, only as directed by the distribution control point
- ! remove and discard all superseded or voided documents, as directed by the DMC
- ! acknowledge receipt within the specified time
- ! notify the distribution control point of changes in controlled document assignment or location
- ! notify the distribution control point of lost, damaged, or destroyed controlled documents.

c. IF a lost document reappears after being replaced, **THEN** return it to the distribution control point.**d.** Implement a system to account for and locate controlled documents removed from controlled files.**e.** Maintain consistent, accurate, indices to identify controlled documents, current revision level, cross references to superseded and cancelled documents, and any related temporary change through a manual or automated system readily available to all users.**f.** Maintain master copies of controlled documents under access control as a content and revision level confirmation document.

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G. Maintaining Controlled Documents (cont.)

OM/DMC

- g. **IF** the distribution of the controlled document is electronic,
THEN
 - ! document the process used and obtain appropriate line management approval
 - ! generate, revise, and release electronic controlled documents using a process which results in equivalent control as described for hard copy controlled documents
 - ! keep electronic documents current
- h. **IF** the controlled document is being revised, **THEN**
 - ! control originals of hard copy or electronic document
 - ! establish access and administrative controls to protect documents from unauthorized changes
 - ! maintain accountability for hard copy originals removed from the files and ensure return in a timely manner

H. Control of Superseded or Cancelled Documents

OM/DMC

1. Ensure documents are replaced or decontrolled in a timely manner.
- 2 **IF** copies of superseded or cancelled documents are requested,
THEN
mark them clearly as Superseded or Cancelled.

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I. Assessments

OM/PM

1. Perform assessments in accordance with Y60-902, *Management Assessment*.

J. Training

OM/PM

1. Ensure DMC staff are trained and/or competent in document control requirements and processes.

K. Maintenance of Controlled Document List

PM

1. Maintain a list of Energy Systems controlled document types.
2. Review list annually.

RECORDS:

The following records shall be maintained in accordance with approved records inventory and disposition schedules.

OM/DMC

- ! standard distribution lists for all controlled documents
- ! receipt acknowledgments from distribution of controlled documents (paper or electronic)
- ! document transmittal forms
- ! periodic index of controlled documents
- ! master copy and history files of controlled documents

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SOURCE Requirement units as approved in Energy Systems
DOCUMENTS Standards/Requirements Identification Document, Chapter 1, Subelement 1.8, *Information Management*.

APPENDICES

- A. *Document Control Outline*
- B. *Document Management Center Functional Description*
- C. *Establishing and Operating Document Management Centers*
- D. *Sample Document Transmittal Form*
- E. *Sample Receipt Acknowledgment Form*

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Appendix A
Document Control Outline
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IDENTIFICATION	<ul style="list-style-type: none">-Are documents requiring control identified on a list or log?-Is the first sheet of a controlled document stamped "Controlled Copy"?-What practice is used to ensure controlled document numbers or released documents are not reused?-How is the completeness of a document determined?-Have distribution and status indexes been developed for each controlled document?-Are working copies of the controlled document going to be required to conduct work?
CREATION AND PREPARATION	<ul style="list-style-type: none">-Is the document identifier, date, and revision status on every page of a controlled document?-What review or authentication process is used to determine that the document is technically accurate?-Are documents distributed by means of a transmittal letter?-Are record copies of all document revisions maintained?
RELEASE AND REVISION	<ul style="list-style-type: none">-Are documents reviewed before release?-How is the document completeness and legibility determined?-Has a document management center been established to distribute the document?-Is there a unique control copy number on each document?
RECEIPT	<ul style="list-style-type: none">-Are controlled documents placed into the appropriate file or manual?-Are obsolete copies or pages removed as indicated on the transmittal form letter?-Is receipt of the controlled document acknowledged?
TRACKING	<ul style="list-style-type: none">-Is contact made with the controlled copy holder to inquire about transmittals not acknowledged?

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Appendix B
Document Management Center Functional Description
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Document Control is the systematic process used to identify and control the generation, revision, release, receipt, distribution, disposition, and file maintenance of selected documents. Documents are selected for control when the need for accuracy, completeness, technical adequacy, and revision control is necessary to perform work in a safe manner. A Document Management Center (DMC) is the designated location established to ensure the process of document control occurs within an organization. Each DMC and appropriate organizational staff has a goal to ensure that all document control processes are carried out consistently resulting in current documentation being available to conduct work. The physical size or the number of centers within an organization is dependent on the number of controlled documents generated, accessibility and retrieval requirements to the documents, and overall cost effectiveness. An organization may choose to have one central DMC or several smaller centers. Organizations, especially those with a small number of controlled documents, may find it appropriate and cost effective to contract with Information Management Services to perform this service for them. Each DMC should have a point of contact that is responsible for its operation. Every DMC ensures the following Document Control functions occur.

Documents Which Need To Be Controlled Are Identified

The DMC, in conjunction with appropriate organizational personnel, reviews existing documentation to identify what documents require control. Documents to be controlled can be generated internally or externally (e.g. vendor documents). Energy Systems has identified document categories which require control and they are listed in Section A, Step 2 of this procedure.

As documents requiring control have been identified, the DMC creates and maintains a log or list identifying them. Upon identification as a controlled document, the DMC ensures each document enters a process tracking its content, status, and location until it is removed from the log.

Documents Are Generated To Established Criteria

The DMC, in conjunction with appropriate personnel, identifies format requirements that all controlled documents must meet in accordance with site approved documents. At a minimum, every controlled document must be uniquely identified and provide a method to ensure its completeness (that all pages are present and that each page is the correct revision). A distribution list must be developed and provided to the DMC for every controlled document identifying the responsible party for the copy and where it is located.

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Documents Are Reviewed And Released For Distribution

The DMC verifies that controlled documents are reviewed prior to being released for distribution in accordance with site approved documents. The DMC, in conjunction with appropriate personnel, ensures that a review and approval process is in place for each controlled document. At a minimum, appropriate Subject Matter Experts must perform a review of the technical adequacy of the document. Following the technical review, the DMC reviews the document to ensure that it is approved, legible, complete and ready for distribution. In addition, the DMC verifies the unique document number, effective date, revision, and complete page numbering are present. The DMC also verifies that proper authorized signatures are present, that the document has been reviewed for classification, and that an established distribution list is available.

Document Distribution Is Controlled

The DMC is responsible for duplication and distribution of the controlled document. The DMC ensures that the controlled status of every paper copy is identified in colored ink (other than black) and that each copy has been assigned a unique copy number. This controlled copy number is then associated with an individual or position from the documents distribution list and the location of the copy is known. The DMC prepares a transmittal sheet informing the holder of any actions that are to be taken with the document (e.g., destroy a previous revision, remove and replace a certain page). The transmittal and document are then forwarded to the holder.

Electronic distribution systems that use equivalent control elements are an option to a paper based distribution system. Electronic metadata can provide equivalent documentation for the transmittals in an electronic distribution system. For electronic versions of controlled documents, an on screen message provides equivalent marking.

Document Receipt Is Tracked

Upon receipt of the controlled document, the controlled copyholder acknowledges receipt and completion of the transmittal actions by their signature and returns the signed transmittal to the DMC. The DMC updates its records indicating receipt of the document. When transmittals are not received, the DMC follows up with the holder until the transmittal is returned or the copy is removed from controlled distribution. The purpose of receipt tracking ensures that the DMC knows the status of each controlled copy within the organization and its revision date at any given time.

Capability to notify the distribution point of failure to deliver the electronic transmittal that announces the posting of a revised controlled document is required, as well as electronic read receipts of the transmittal. These transmittals notify owners that a new electronic controlled version has been posted.

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Provisions Are in Place to Revise Documents

The DMC, along with appropriate personnel, ensures that a mechanism is established enabling revision to a controlled document in accordance with site approved documents. Comments are gathered by the DMC and then addressed by appropriate organizational personnel. Final changes to the document resulting from review comments must receive the same technical and completeness review and approval as the previous version. The DMC maintains the status of every controlled document including the current version information and any revisions that are pending.

Records Are Maintained And Stored

The DMC is responsible for the maintenance and storage of controlled documents. The DMC ensures that records associated with controlled documents (including the list/log of controlled documents, the master document, the document history file [including all revisions], distribution lists, and the transmittal/acknowledgment forms) are retrievable and protected from damage, alteration, and loss. The DMC also acts as a focal point for the verification of a current revision for a document as well as distributing requests for uncontrolled copies of controlled documents to be used for reference purposes.

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Appendix C
Establishing and Operating Document Management Centers
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Line organizations establishing a Document Management Center (DMC) should:

1. Perform an assessment of the organizations document and records management needs, including the following:
 - a. User information needs
 - b. Types and volumes of information to be handled
 - c. Current records inventory and disposition schedules
 - d. Workload, staffing, and training requirements
 - e. Space, location, and types of equipment needed
 - f. Costs and benefits to be accrued.
2. Design and set up the DMC office and document collection area(s).
3. Acquire staff, equipment, and supplies as needed.
4. Prepare written instructions to operate the DMC as needed:
 - a. Ensure records management practices meet the requirements of Y15-101, *Records Management*
 - b. Ensure document control practices meet the requirements of this procedure
 - c. Define DMC responsibilities and work flow
 - d. Define guidelines for organization document selection, filing, and indexing
 - e. Determine required reports and statistics to be generated
 - f. Determine and document training requirements
 - g. Develop a disaster prevention and recovery plan for collection in accordance with size and importance of collection
 - h. Define access controls for DMC.
5. Utilize/develop automated system for retrieval of information. The established corporate information system - SMART - is recommended for use. If SMART is not appropriate for use based on results of assessment above, then:
 - a. Define system requirements
 - b. Evaluate and select software
 - c. Identify document attributes needed as access points
 - d. Develop user instructions for database.

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NOTE: If the DMC volume is very low, a manual system may be used.

6. Collect documents:
 - a. Coordinate delivery of documents using a transmittal process in accordance with this procedure
 - b. Evaluate incoming records to ensure they have approved retention schedules as required by Y15-101, *Records Management* and if not contact the LMES Records Officer.
 - c. Identify documents uniquely.
7. Process documents:
 - a. Index documents according to Y15-101, *Records Management*
 - b. Enter information into database
8. Maintain the documents and database:
 - a. File documents according to indexing schedule for easy retrieval
 - b. Store documents in accordance with Y15-101, *Records Management*
 - c. Provide appropriate access controls
 - d. Retain record copy in the DMC
 - e. Respond to user requests for duplicate copies of documents/records
 - f. Transfer inactive records to the Site Records Center in accordance with Y15-101, *Records Management*
9. Assess document management practices on a regular basis and resolve deficiencies as needed.
10. Ensure training for DMC personnel is provided as needed to maintain continuing competency of staff in document control and records management practices and requirements.

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Appendix D
Sample Document Transmittal Form
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This is an example of an acceptable document transmittal.

Distribution: (See attached Distribution List)

(include organization name/number, unique copy number, and holders name or position)

Distribution of (Document Title, Number, Revision/Date)

Enclosed is/are (Document Number) controlled copy/copies of the referenced document for your use. This document replaces the following:

_____ Replace entire revision and place in controlled document set.
 Remove and dispose of old revision material.

_____ Page Change Revision:

Remove Pages _____	Insert Pages _____
_____	_____
_____	_____
_____	_____

LIST OF EFFECTIVE PAGES

Page Number	Date	Revision
Table of Contents	4-01-94	12
1 thru 14	3-07-92	7
15	6-18-92	9
16 thru 93	4-01-94	12

NOTE: This is a complete status of each page within the controlled document. This status method would be used to document the page revision status on documents that are revised page by page instead of issuing the entire document as a reprint. If a LIST OF EFFECTIVE PAGES were not used then each page revision status must be identified in the documents Table of Contents.

Subject: Document Control

Appendix E
Sample Receipt Acknowledgment Form
(Page 1 of 1)

This is an example of an acceptable receipt/acknowledgment.

Distribution: (See attached Distribution List) (include organization name/number, unique copy number, holders name or position)

Distribution of (Document Title, Number, Revision/Date)

I have received the above listed document and I have filed all revisions in the proper file.

Document No. _____ Signature _____

Date _____ Name _____

(Sign and return this acknowledgment to the releasing department within 15 working days of receipt.)